DOCUMENT RESUME

ED 244 530 HE 017 232

AUTHOR Galligani, Dennis J.
TITLE Changing the Culture of the University.
PUB DATE Apr 84
NOTE 70p.; Paper presented at the Annual Meeting of the American Educational Research Association (New Orleans, LA, April 23-27, 1984).
PUB TYPE Reports - Descriptive (141) -- Speeches/Conference Papers (150)

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Affirmative Action; American Indians; Blacks; *Change Strategies; College Environment; College Governing Councils; College School Cooperation; *Cultural Pluralism; Higher Education; Institutional Research; Mexican Americans; *Minority Groups; Multicultural Education; Position Papers; School Holding Power; *Student Recruitment
IDENTIFIERS *Diversity (Student); Research Universities; *University of California Irvine

ABSTRACT

Results of the initial implementation of longitudinally-structured action research at the University of California, Irvine, are presented. The objective is to determine whether combining action research with an organizational cultures approach is a viable way to influence the culture of a research university. The intended outcomes include the realization of proportionate representation of three minority groups admitted to, enrolled in, and graduated from a research university, as well as the cultural diversification of the curriculum. The underrepresented minority groups are Chicanos, Blacks, and American Indians. Attention is focused on environmental influences, organizational values, communication networks, rites and rituals, and heroes (individuals who work toward the goal of a culturally-diverse campus). This student affirmative action project has resulted in the establishment of campuswide quantitative and qualitative goals and objectives that focus on an individual student's developmental growth stages from junior high school through college enrollment and graduation. Recommendations are included on ways to achieve cultural changes in higher education institutions. Appended are the philosophy statement of the Student Affirmative Action Committee of the Academic Senate, a joint statement of that committee and the Divisional Committee on Affirmative Action, and a memo to the Council of Deans. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED244530

Changing the Culture of the University

Dennis J. Galligani, Ph.D.

University of California, Irvine

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Dennis J. Galligani

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

- This document has been reproduced as received from the person or organization originating it.
- ☐ Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

HE017232

Prepared for the American Educational Research Association's Annual Meeting

April 23, 1984
New Orleans, Louisiana

TABLE OF CONTENTS

I Summary. . . . . Page 1

II Problem Statement. . . . . Page 4

A. Nationally. . . . . Page 4

B. State of California . . . . . Page 7

C. The University of California. . . . . Page 9

III Theoretical Framework. . . . . Page 14

A. Action Research . . . . . Page 14

B. Organizational Cultures Analysis. . . . . Page 16

C. Management Tools to Assist the Action Research/ Cultures Strategy Effort. . . . . Page 20

IV Methodology. . . . . Page 22

A. SAA Situation Prior to Summer 1982. . . . . Page 22

B. July 1982 to the Present. . . . . Page 22

C. Cultural Diagnosis. . . . . Page 23

D. Beginning to Apply the Method . . . . . Page 24

E. Setting Goals and Objectives. . . . . Page 25

F. Fall 1983 Efforts . . . . . Page 26

G. Methodology in the Context of Successful Cultures Change Strategy . . . . . Page 28

H. Summary . . . . . Page 31

V Results of the Action Research/Cultural Strategy Approach. Page 32

A. Results Specifically Impacting Upon SAA Students. . . Page 32

B. Results Influencing Procedural Changes. . . . . Page 35

C. Results as They Impact on the Institution Changing its Culture. . . . . Page 37

D. Results by Organizational Culture Elements. . . . . Page 40

VI Conclusions and Recommendations. . . . . Page 43

VII References . . . . . Page 46

VIII Appendices

A. Samples of June 1, 1984 UC Irvine Student Affirmative Action Goals and Objectives . . . . . Page 48

B. Samples of February 1, 1984 UC Irvine Student Affirmative Action Goals and Objectives . . . . . Page 54

C. Irvine Division, Academic Senate Student Affirmative Action Committee Philosophy Statement. . . . . Page 62

D. Joint Report of the Senate Student Affirmative Action Committee and the Divisional Committee on Affirmative Action. . . . . Page 64

E. The Vice Chancellor Memorandum dated November 4, 1983. . . . . Page 65

- List of Tables

Table 1: Percent of Ethnic Distribution of 1981 Graduates of Public California High Schools and Fall 1981 Postsecondary Enrollment of First-Term Freshmen by Segment. . . . . Page 10

Table 2: Comparison of Percent of Ethnic Undergraduate Enrollment Between the University of California System (UC) and the University of California, Irvine (UCI) by Year . . . . . Page 12

I SUMMARY

The underrepresentation of certain minority groups in American higher education has been an area of deep concern for the past three decades. While progress was made in the late 1960s to mid 1970s a leveling effect, and even some widening of the gaps, have occurred during the last five years. This preliminary report represents reflections on the initial stages of implementation of a longitudinally structured action research/organizational cultures strategy effort, conducted at the University of California, Irvine. The intended outcomes of the effort include the realization of proportionate representation of particular minority groups admitted to, enrolled in, and graduated from a research university, as well as the cultural diversification of the core of the campus, i.e., the curriculum. Recommendations are presented on ways to achieve cultural changes in higher education institutions.

Action research is a problem solving method which calls for direct involvement by the researcher as a resolution is attempted. The practical concerns of the involved individuals in an immediate problematic situation and the goals of furthering behavorial science knowledge comprise the framework for action research. Culture studies are a relatively new approach to research on organizations. The culture of an organization reflects the pattern of beliefs and expectations which are shared by those in the organization. This pattern determines the way in which things actually get done. The five core elements considered in a culture study are: environmental influences, organizational values, heroes, communication networks, and rites and rituals. The present study attempts to determine if meshing action research with an organizational cultures approach is a viable way to influence the culture of a research university.

The methodology began with an assessment of the culture. This identified strengths and weaknesses inherent in the research university's current culture to support efforts in concert with the campus' goals. The rites and rituals common to the university's functioning were used to assist the campus in responding to the issues of student underrepresentation. The conceptual design called for achieving a positive cooperation among all the cultural elements to support the intended cultural changes.

The preliminary results of this student affirmative action project include the establishment of campuswide quantitative and qualitative goals and objectives which focus upon an individual student's developmental growth stages from junior high school through enrollment at the University to graduation with a baccalaureate degree. One year into implementation of the model, the number of enrolled students in all five underrepresented groups increased. This reversed a previous three year downward trend. During the present year's primary application period there occurred significant increases in the number of applications received from underrepresented students as compared to the prior year. Another outcome is a nationally recognized collaborative effort with a local school district to enhance the academic preparation of junior high school and high school students in order to provide the students a greater opportunity to pursue higher education. On the campus, all academic units and twenty-three administrative units are actively preparing action plans describing the ways in which they will meet the campus' goals and objectives during 1984-85. Cultural awareness and sensitivity training has been conducted on the campus for diverse constituent groups. Also, the Academic Senate has passed a resolution stating its commitment to student affirmative action and its agreement to work toward culturally diversifying the curriculum. Subsequent

to the resolution, funding has been made available for faculty to assist in cultural diversification efforts.

Although the action research/cultural strategies model is still in the early stages of development, it has indeed influenced the organizational culture of the subject university. Things are now done differently, and there are visible signs that affirmative results are being achieved.

II PROBLEM STATEMENT

A. Nationally

For almost twenty years a concentrated effort has been made toward increasing access to and success in American postsecondary education for low income and minority students. These efforts have focused upon enabling underrepresented students to participate in postsecondary education at the same proportion at which they are represented in the general population.

The watershed year for confronting the issue of minority underrepresentation in American higher education was 1964. Title IV of the Civil Rights Act of 1964 stated that parity for underrepresented groups should be sought. The Act defined parity as the proportional participation by students in higher education as measured by high school completion rates, enrollment according to type of institution and field of study, and persistence until graduation. These firm statements by the federal government indicated a strong commitment to turn around the inequities of minority and low income participation in American higher education and began to stimulate a variety of efforts in order to achieve such parity.

Historically, a significant factor influencing parity can be traced to 1896 and the Plessey vs. Ferguson decision which stated that postsecondary education institutions could meet federal guidelines for support and be race-separate as long as they were equal. This separation of minorities (particularly Blacks) had two major consequences: the founding of many all Black colleges, and the elimination of minorities from the mainstream of American postsecondary education. The disparity lasted sixty years, until the Brown decision of 1954, and continued to last defacto until the 1964 Civil Rights Act.

Since 1964 increases have been made in the participation of minorities in higher education. In fact, in the Carnegie Council's Three Thousand Futures it was indicated that by the year 2000 the authors anticipated that parity for minorities would be reached. When the status of participation by Blacks was reviewed in 1981, however, Egerton discovered that while progress had been made, certain circumstances prevented full participation by Blacks in postsecondary education. He cited those circumstances contributing to this lack of participation as being the following:

- "Traditionally white colleges and universities now enroll nearly four out of every five Black students, but traditionally Black institutions still produce almost half of all Black degree recipients.
- Despite large gains in recent years Blacks still make up only 8% of total college enrollment though they are 14% of the college age population.
- Attrition, a complex problem with many causes, affects a disproportionate percentage of Black students at all levels of lower and higher education" (pp 3-4).

A different set of historical circumstances influenced Chicano and Latino participation in postsecondary education. Most Chicanos were regionally located in Texas during the early part of the 1900s. From 1920-1945, growth of Chicano participation at the University of Texas increased only slightly from 0.6% to 1.2%. The enactment of the G.I. Bill in 1945 stimulated enrollment of Chicanos and Latinos in the Southwestern states. There was an increase to a total of 5.8% of postsecondary enrollment in the region by 1958, and 10.2% by 1971 (Weinberg, 1977).

The two conditions commonly identified as those which most severely limit the growth of Chicano participation in postsecondary education are English speaking competence and sufficient financial support. The enactment of the Higher

Education Act and its specific financial aid titles are one of the factors which led to increased enrollment proportions of Chicanos and Latinos during the early and middle 1970's. However, a plateau became evident for Chicanos toward the end of the 1970's.

This estimate of early successes with a subsequent leveling off period is well documented by Alexander Astin in his book Minorities in American Higher Education (1982). Astin discovered that while significant growth in participation of minorities in American higher education institutions occurred through 1978, a leveling off and in some cases a decline began in 1979. This trend continued to occur even while the national overall population growth of Blacks and Chicanos continues to increase. Astin and Preer (1981) concur with Egerton that retention, both in secondary schools and postsecondary institutions, is one of the primary concerns of this leveling effect and lack of consistent participation in higher education.

In addition to the general leveling off effect, Astin (1982) noted particularly that there were significantly lower enrollment rates for underrepresented minorities in major research universities. He also determined that while enrollments were much more likely to be lower in prestigious research universities, these same institutions were more likely to retain students than were either community colleges or less prestigious four year institutions. In his summary, Astin noted that in 1982 the following conclusions could be drawn:

- Chicanos, Latinos, and American Indians are the most underrepresented of the four minority groups. The single most important factor in this underrepresentation is their extremely high rate of attrition in secondary schools. The second most important factor is their greater-than-average attrition rate from undergraduate colleges.

- Blacks fall about midway between whites and the other minority groups in terms of the likelihood of completing graduate or professional degrees. Their underrepresentation appears to be attributable to greater-than-average losses at all transition points (e.g., high school to college) except entry to graduate or professional school.
- With the exception of transition from undergraduate to graduate school all four minority groups suffered disproportionately high losses at all transition points in the higher education system.

The above summary of higher education underrepresentation in 1982 indicates that although the efforts begun in 1964 have been somewhat successful, they continue to fall short of meeting the parity goal set by the Supreme Court, and in fact the gaps may be widening.

B. The State of California

The State of California mirrors the national description of the flow of minority students into and through higher education. Yet California, like each state, has unique factors which contribute to the way in which minority participation is influenced. Most specific is the fact that by the year 2000, California will be the first majority ethnic minority state. It is estimated that by 1991 the combined enrollments of minorities in California's public schools will be 25% greater than the Anglo enrollment. In light of this significant demographic shift, there are three factors which can significantly influence the participation of minorities in California's postsecondary education system:

"First, except for Asians, minority students generally have a lower rate of persistence in high school, second, a lower eligibility rate for entering college, and third, more severe English-language problems. The effects

> of these factors result in lower participation rates for minorities in postsecondary education which, as their groups become proportionately larger in the state's population, could negatively effect statewide enrollment and limit the opportunity of minority youth for advancement in work in society" (California Postsecondary Education Commission, 1981, p. 133).

California has been aggressive in attempting to increase access to and continuance in postsecondary education since 1964 when the Educational Opportunity Program (EOP) began. This program is focused upon disadvantaged ethnic minorities and low income students. In 1965, 100 of the State's enrolled students were EOP students, while in 1974 8,350 EOP students were enrolled in California's postsecondary education systems. Yet, during that time span the disparity between enrollment of certain ethnic groups and their continued underrepresentation became more clear. In 1975 the California State Legislature, in concert with the University of California, began the Student Affirmative Action Program (SAA). This effort was specifically aimed at eliminating the disparity between populations enrolled in California high schools and their proportionate representation in California postsecondary education.

It is important to note the structural nature of higher education in California. The 1960 Master Plan for Higher Education in California determined that each of the three segments of public postsecondary education would be responsible for certain aspects of postsecondary education within the State. Community colleges (currently 109 campuses) focus on a three-part mission: (1) being a conduit for students who wish to attend other four-year institutions by providing the first two years of undergraduate education; (2) vocational training and certification; and (3) meeting local adult education needs.

The California State University system (currently 19 campuses) has as its mission the education of undergraduates in the liberal arts and professions, as well as the conferral of master's degrees in certain subject areas. The nine-campus University of California's mission is, in addition to general undergraduate education, the granting of the Ph.D degree and the conduct of academic research for the State. These three segments provide some sort of access to postsecondary education to all citizens of the State: the community colleges are open to all citizens; the top 33 1/3% of high school graduates are admissable to the California State University system; the top 12-1/2 % of high school graduates are eligible for the University of California system.

As stated in section II A, Astin found that type of institution is an influential factor in the enrollment of minorities in postsecondary education. The 1975 University of California SAA Plan was developed as recognition grew of the clear evidence that American Indians, Blacks, Chicanos, Latinos, and Pilipinos were disproportionately represented within California's postsecondary education system as compared to their population within California high schools. At that time the differences among these groups were: American Indians 0.4%, Blacks 5.2%, Chicano/Latinos 13.3%, and Pilipinos 1%. By fall 1981 some success had been made in student affirmative action; however, there remained disparity by level of institution. Table 1 depicts this disparity.

C. The University of California

The University of California, the research university of the state, has consistently had a lower proportion of enrolled underrepresented students and, as indicated by Astin, has a better retention rate than other segments of California's postsecondary system, though it still is not equal to that of majority or Asian students.

Table 1

Percent of Ethnic Distribution of 1981 Graduates of Public California High Schools and Fall 1981 Post Secondary Enrollment of First-Term Freshmen by Segment

Group	High School	Segment			Total
		University of California	California State University	California Community Colleges	
American Indian	1.0	.4	3.8	2.0	2.1
Black	8.2	4.8	7.5	10.1	9.1
Chicano/ Latino	15.7	6.0	10.6	16.7	14.5
Pilipino	1.3	2.7	2.3	1.6	1.8

Note. Source: University of California (1983).

The location of the present study is the youngest of the nine campuses of the University of California, located at Irvine. UC Irvine opened its doors in 1965 as a general campus of the University and has a full complement of undergraduate and graduate programs as well as professional programs in management, engineering, computer science, and the health sciences. The student body numbers 11,900. UC Irvine currently is among the leading 75 research universities in the country, and has as its goal to rank within the top 50 by 1990. The campus is located in Orange County, which is considered one of the fastest developing areas of California. While Orange County is known stereotypically as a white politically conservative stronghold, it in fact is not, and many of the nearby cities within Orange County are populated by large Asian, Chicano, Latino, and Black populations. It is located within an hour's drive from the Los Angeles greater metropolitan area.

Table 2 indicates the pattern of UCI's underrepresented student enrollment in the years 1975, 1979, and 1982 as compared to the overall University of California's enrollments. UCI achieved its highest level of underrepresented enrollments in 1979. There followed a downward spiral which reached its low point in 1982. A campus review conducted during 1982 indicated that underrepresented students faced special problems at UCI. The review team indicated that minority students experienced feelings of alienation and isolation, and that they believed that neither the central administration nor the student governing council had concern about their interests or issues. Minority students, unlike most other student groups at UCI, felt little ability to change or alter the course of the University.

Preer indicates a context for thinking about an institutional approach to underrepresented students, stating:

Table 2

Comparison of Percent of Ethnic Undergraduate Enrollment Between the University of California System (UC) and the University of California, Irvine (UCI) by Year

Ethnic Group	Year					
	1975		1979		1982	
	UC	UCI	UC	UCI	UC	UCI
American Indian	.5	.4	.6	.6	.5	.5
Black	4.1	3.9	4.0	5.8	3.9	3.6
Chicano/ Latino	4.9	6.0	5.7	8.7	6.0	6.5
Pilipino	.7	.9	1.2	1.4	2.0	2.0

Note. Source: UC Irvine Office of Information and Planning Analysis.

"At every level in the educational hierarchy from high school on, the particular needs of minority students must be identified and met with creative and flexible responses. Minority students bring to higher education different problems of preparation and financial aid but also bring different strengths of cultural heritage and life experience. To maximize the participation of minority students, educators need to acknowledge and capitalize on these strengths while applying economic and academic assistance at the appropriate level and in the particular field to the individual student." (1981, p.25).

The problem defined in this study is to enhance the ability of the institution as a whole to address the needs of underrepresented students. This is to be accomplished while maintaining the quality of the research institution and at the same time enhancing the potential for access to and the ability of underrepresented students to succeed at the institution.

III THEORETICAL FRAMEWORK

The problem identified in part II is not unique to the University of California, Irvine. It is one with which institutions throughout the country are grappling. It is clear that there are many well-intended educators and administrators attempting to resolve this complex issue. There are many reasons given for the current situation, yet in the attempt to address the problem in a new way there are new creative approaches. Given the nature of UCI, it was decided that an action research/cultures strategy model would be utilized in an attempt to change the way in which underrepresented students had access to and succeeded at the campus. The effort is an attempt to change the organizational culture of the campus.

A. Action Research

Action reseach is grounded in the behavioral sciences and is closely associated with organizational development efforts. Action research is a problem solving model which calls for direct involvement by the researcher as a problem resolution is attempted. The practical concerns of the individuals involved in an immediate problematic situation, as well as the goals of furthering behavioral science, become the framework for action research.

Perhaps the individual most involved in the theoretical discussion of action research is Chris Argyris. Argyris (1982) notes that there are six essential features of action research: (1) having as the ultimate purpose the production of valid generalizations about how individuals and social systems can design and implement their intentions in everyday work situations; (2) developing a description of reality which requires a sense of what is as well as what can be; (3) recognizing that all actions that have consequences are based upon an individual's ability to reason; (4) recognizing that individuals abilities

to control their own actions as well as understand the actions of others are based upon the ability to understand the culture within which they are dealing as well as to understand a way to function within that culture; (5) ensuring that the theories of action research are directly usable by individuals and organizations; and (6) ensuring that action researchers have a method to test whether or not the researcher's outcomes are accurate.

As Argyis explains:

> "Normal science and action science researchers aspire to produce knowledge that is ultimately generalizable and simultaneously usable in concrete situations. The difference is that the former tend to separate it into generalizable knowledge for basic research and applicable knowledge for development or applied research.... Action scientists, in contrast, do not separate generalizable knowledge from knowledge that can be used in a specific situation" (1982, p. 473).

A final Argyis comment about action research and its difference from "normal" science is that the knowledge developed is designed to be used by those producing the knowledge and that the consequences for the precision of the research lie in measurable outcomes for the organization. These are the main tenets of action research, and they provide a useful framework to apply to the student underrepresentation problem.

A model of institutional introspection (such as action research) is not unusual in higher education and occurs deliberately within its culture in many forms: for example, peer review and external review of academic programs. Utilization of the action research model to engage in an effort to change the way in which the campus thinks about and deals with the issue of student underrepresentation became the framework for this study.

B. Organizational Cultures Analysis

An action research model fits into the ambience of a research university. It reflects the kind of culture that such a university holds dear - one which is based upon inquiry, dialogue, and seeking the truth. As a way in which to strategize the effort, it was decided that to assist underrepresented students, an appropriate context for the intervention was one which recognized the organizational culture of the University and attempted to change it.

The legitimization of using culture as a way to study organizations can be traced to Pettigrew (1979). Later, the concept of cultures study was operationalized by Deal and Kennedy (1982). The meshing of action research with an organizational culture approach is, this author believes, a viable way to enhance an action researcher's natural tendency to focus upon internal organizational variables; however, by broadening the perspective of the organization through a review of its culture, external environmental variables are taken into account.

There are a number of complementary definitions of culture. Schwartz and Davis (1981) define culture as that "pattern of beliefs and expectations shared by the organization's members. These beliefs and expectations produce norms that powerfully shape the behavior of individuals and groups in the organization" (p.33). Wallick defines culture as "the shared understanding of an organization's employees about how we do things around here. These beliefs, values, norms and philosophies determine how things work. They define expected standards of behavior, speech, presention of self and 'shoulds'" (1983, p.29). Simplisticly defined, culture determines the way things actually work.

There are five basic elements which make up an organization's culture. The first is the environment within which the organization exists. For UCI it takes into account such factors as governance, legislative actions, the influence

of the economy, the impact of University of California systemwide decisions, and community input.

The second element is values. These are the basic concepts and beliefs of the organization and reside at the very heart of an organization's culture. Values are the way the organization defines success. For faculty, this would include the quality and quantity of research, the effectiveness of teaching, and the ability to serve the public. For administration, it is the quality of the management of a complex organization. For other employees, it is the degree to which they support the research and teaching functions of the University. There are very strong values at a research university, such as shared governance, autonomous research activities, and freedom of speech.

The third element is heroes. These are the people who most personify the culture's values. They provide, therefore, the visible role models for the institution to follow. They can be found at any level of the institution from the senior professor to the "young turk" administrator. They inculcate the ideals of the institution. Heroes exemplify the way in which the organization carries out its values and defines it success.

The fourth element is rites and rituals. Rituals are systematic and routine events in the life of the university that indicate what is to be expected of individuals. Rites provide clear examples of what the organization values and they serve to identify the heroes.

The final cultural element is networking and communications. These occur both informally and formally and are the ways in which the individuals of the organization hear about what is perceived to happen within the organization. "Storytellers, spies, priests, cabals, and whisperers form a hidden hierarchy of power within the organization. Working the network effectively is the

only way to get things done or to understand what's really going on" (Deal and Kennedy, 1982, p.15).

These elements of culture must be taken into account when an action research project is being undertaken in order to change the culture. All of the elements influence the degree to which a change of culture can be successful.

Deal and Kennedy describe four kinds of organizational cultures: (1) the tough-guy/macho culture, which indicates a group of individualists who take high risks and get quick feedback on their actions; (2) the work hard/play hard culture, where employees take few risks and receive quick feedback, and in order to succeed employees must maintain a high level of low risk activities; (3) the bet-your-company culture, in which the organization makes decisions which have significant stakes, and yet may have to wait for years before the organization's personnel know whether those risks have paid off (this is a high risk, slow feedback, culture); and (4) the process culture where little feedback occurs and individuals in the organization find it hard to determine the outcomes of what they do. Instead, individuals concentrate on what is done rather than on the overall result. "We have another name for this culture when the processes get out of control - bureaucracy" (Deal and Kennedy, 1982, p.108).

What is intriguing about universities is that they contain two of these cultures simultaneously. The process culture most clearly defines the way in which the administration proceeds, and the faculty are involved in the tough-guy/macho culture, where the quality of their research and teaching come under scrutiny and are quick to be evaluated.

In their recent best-selling book, <u>In Search of Excellence</u>, Peters and Waterman (1982) identified the importance of an organization's culture. They found

that excellent companies had a strong congruence between their stated culture and the way in which individuals within the organization understood that culture. They found that excellent companies had excellent cultures.

The identified cultural change which the University sought was a way to inculcate into the University's present culture an understanding of, and a commitment to, the concerns of underrepresented students and ways in which those could be addressed institution-wide. Equally important was to actually change the institution in order for it to become a more multicultural institution.

In order to achieve a cultural change, Deal and Kennedy suggest a number of conditions be present:

- Recognition that peer group consensus is essential.
- Development of two way trust and communication around the change activity. This means candidness and a sharing of information throughout the formal and informal communications networks.
- Consideration of the cultural change process as one which assists/trains those involved individuals in developing new skills and knowledge which reflect the new cultural values.
- Ensurance that the change fits into the involved individuals' everyday work rituals. It must be a modification, an enhancement, not something which goes against the acceptable way of getting things done.
- Sufficient time must be allowed for the change to occur.
- A hero or heroes must be identified as having responsibility for the effort.
- A recognizable and real "threat" from the outside must be communicated to all involved.
- Identified rituals and rites must be the cornerstone of the transition to the new culture.
- Tangible symbols of the new culture must be clearly visible.

- The employment security of the individuals involved must not be threatened.

Schwartz and Davis (1981) sum up by stating "an organization's culture is best altered by gradually reducing the perceived difference between current norms and the new behavior, increasing the value that the culture places on adaptability, and enhancing the ability of those involved to affect the desired change" (pp. 43,44).

C. Management Tools to Assist the Action Research/Cultures Strategy Effort

Two management orientated tools used in this effort are the setting of clear goals and program evaluation. Setting broad range goals and, where possible, specific measurable objectives is an important ingredient in being able to ascertain the degree to which a shift in culture occurs.

Program evaluation also lends itself to the action research model. Tyler (1983) recognized the use of evaluation in action research in his succinct rationale for program evaluation. Carol Weiss provided a clear description of the ways evaluation can assist in the development of action programs in her two landmark books (1972 & 1972). Stake and Denny, in their discussion on the future of evaluation (1973), indicate that through the conceptualizations of Scriven (1967), who defined the useful evaluation concepts formative (developmental) and summative (outcome), evaluation can be seen as an essential component of action research and is clearly a way to enhance this emerging science.

The framework used in the action research/cultures strategy model included a definition of the purpose or function of the evaluation, a determination of the types of information needed, a choice of data collection efforts, and a determination of the timing of the evaluation. These aspects lent themselves to an ongoing feedback loop response to the action research effort.

The framework combined action research and organizational culture strategies as a way to address the problem of underrepresented students at a research oriented university. Part of the research effort was to determine if the proposed framework could be utilized in other efforts aimed at postsecondary institution-wide concerns, where a change of culture might enable resolution of complex dilemmas.

IV METHODOLOGY

A. SAA Situation Prior to Summer 1982

In the problem statement the status of Student Affirmative Action (SAA) on the UCI campus as of fall 1982 was presented. In reflecting back upon that period it appears clear that while early efforts for enrollment of SAA students were successful there was no sustained activity to support the integration of American Indian, Black, Chicano, Latino, and Pilipino students onto the campus.

The responsibility for the institution's SAA efforts rested within six administrative units, rather than with any broad-based institutional organization. These units were outreach and enrollment units, as well as four campus support service units; i.e., Special Services, Learning Skills, the Tutorial Assistance Program, and the Career Planning and Placement Center. This is not to say, however, that the campus did not have a concern about student affirmative action; in fact many faculty and administrators were involved independently in providing a number of support activities to underrepresented students on the campus.

B. July 1982 to the Present

In the summer of 1982 an administrative reorganization occurred which had the following consequences: (1) the Student Affirmative Action Outreach Office was moved under the aegis of the Office of Academic Affairs, with the purpose of more closely aligning this effort with the academic functioning of the University; (2) responsibility for coordination of all student affirmative action activities was placed within the Office of Academic Affairs and assigned to a single individual; previously there had been no central coordination of these efforts; (3) the UCI Chancellor made a strong statement

to the campus regarding his commitment to make student affirmative action a campus-wide effort; and (4) the State legislature requested that each of the University of California campuses prepare a five year plan, designating specific goals and objectives to assist underrepresented students reach parity.

C. Cultural Diagnosis

In beginning the action research model a review of the status of the culture of the campus was undertaken. This assessment showed that the values needed to adjust the culture of the campus were in place. There were clear values which supported underrepresented students achieving their goals and supported a move toward a more culturally diverse campus culture. The institutional values of free inquiry, academic freedom, and debate of diverse points of view existed, as did a strong commitment to conducting research into resolution of issues.

There also were heroes on the campus. Individuals could be identified who had worked and continued to work toward a goal of a culturally diverse campus. However, these heroes were not visible, nor were their efforts pulled together in any coordinated way.

Regarding communication networking, there was no formal way in which student affirmative action could be addressed and, therefore, no consensus could be reached. Informally, the network generated a negative impression of the campus' student affirmative action efforts. The communication network was not being used to assist, in a positive way, the campus student affirmative action effort.

The external environmental factors influencing the campus were not supportive of the campus student affirmative action efforts. While the legislature mandated plans and actions, there was little guidance which could be effectively offered to assist in these efforts. The local community raised concerns and provided a stimulus to campus change, yet they were not productive in working toward resolution of any of the core campus-wide concerns. The systemwide administration of the University provided general guidance on student affirmative action but, because of the autonomy of each campus, could not influence the individual campuses' efforts. There were no other kinds of pressure upon the campuses to recognize the problem of underrepresentation and deal with it in a productive manner.

The rituals and rites of the campus did not take into account the needs of underrepresented students and there was little concern for a change in the culture to assist underrepresented students. The rites of the campus, such as promotion and merit increases did not reflect any positive visible reinforcement for participants in student affirmative action activities.

D. Beginning to Apply the Method

The beginning of the effort to change the cultural values occurred through the creation of committees to represent the different constituencies of the campus that were to focus on SAA. The specific issue around which the committees began to meet was the legislatively mandated five year plan. The plan became the hub upon which the cultural change application revolved.

Five committees were established: a Community Advisory Council, a Student Advisory Committee, an Administrative Coordinating and Advisory Task Group, an Academic Senate Student Affirmative Action Committee (the first Senate

SAA committee within the UC system) and a core planning group assigned responsibility for development of the SAA five year plan.

An initial activity was to collect data to determine what the current situation at UCI was and what the situation ought to be. Making the issue clear to the constituent committees, as well as to other influential committees on campus, was essential to the identification of the real "threat" of the concerns about student affirmative action. In addition, data were gathered from those who previously had been involved with some of the shortcomings of past student affirmative action efforts. This enabled the action researcher to identify those heroes whom one could begin to flow information through and also to call upon to become involved in this structured student affirmative action effort.

E. Setting Goals and Objectives

For the first time at UCI, a clear set of goals and objectives was set detailing outcomes related to student affirmative action. These were developed by the Core Planning Group and then shared with all the relevant student affirmative action committees for input. They were presented to the appropriate academic and administrative councils and committees in order to garner campus consensus before being submitted by the Chancellor to the Office of the President of the University. These goals and objectives were set by level of a student's growth and development and contained 28 goals and 59 objectives. They represented a developmental approach beginning with expected student outcomes in junior high school and continuing through graduation from UCI to entrance into graduate school or into a career. The goals and objectives then became the vehicle by which the campus could focus its student affirmative action efforts. Appendix A contains samples of the June 1, 1983 campus goals and objectives.

Each academic unit and appropriate administrative units were asked to delineate the actual activities they would undertake to meet whichever goals and objectives fit their institutional function. Because the goals and objectives were quantitative, qualitative, and detailed the quality of effort of the campus in working toward parity for underrepresented students, the initial responses indicated highly diverse levels of campus-wide activity in support of student affirmative action.

Eight of twelve academic units and fifteen of the twenty-three administrative units responded. The resultant UCI Five Year Plan/Planning Statement (1983) indicated not only what units would do, but also served to highlight for other academic and administrative units what they might do to foster both the enrollment and retention of underrepresented students. When units were asked to determine their levels of activity, it was made clear to them that (1) the SAA plan was a long-range effort that would need a campus-wide commitment in order to both attain parity for SAA students and for the campus to become more culturally diverse, and (2) this beginning was one which reflected a series of small steps reaching toward those goals.

F. Fall 1983 Efforts

Beginning in the second year of the model, the SAA effort focused on a number of activities. First, the committees which were developed continued and grew to a higher degree of sophistication in working on SAA issues. Second, efforts to indicate SAA concerns were spread to other affirmative action committees within the structure of the campus. Third, efforts toward working on general cross-campus issues, such as the concern for tutoring or the status of financial aid for underrepresented students, were

addressed. Also, efforts focused on improving the awareness of high level administrative committees, such as the Council of Deans and the Chancellor's Executive Council. In addition, as stated in the June 1 plan, initial development began on a statement of revised goals and objectives. What the campus had learned from the first review of goals and objectives was brought back to the Core Planning Group who massaged them and, working with a number of faculty and others, determined a revised set of goals and objectives. These were reviewed and commented upon across the campus, and through all of the formal structures until the Chancellor resubmitted them on February 1,1984 to the UC President's Office. Appendix B contains samples of the revised goals and objectives in the same areas of student development as presented in Appendix A.

Now that a revised set of goals and objectives exist, once again academic units and administrative units are receiving the goals and objectives and this time have been directed to indicate what activities are to occur during the the 1984-85 academic year to support them. Subobjectives by unit are also to be developed. This second iteration of plan development involves all academic units and twenty-three administrative units.

Also, a program evaluation of the broad campus goals and objectives is being set in place as is a specific formative evaluation designed to enhance the activities of the units involved in preparing action responses. During all of this time the informal networks are continuing to be used to collect and disseminate information. In addition, the formal publicity networks are being used to spread the word about the positive outcomes of all these student affirmative action efforts.

G. Methodology in the Context of Successful Cultures Change Strategy

Previously, items were listed which indicated the way in which cultural change can occur. The degree to which the methodology described above has met the cultural study aspects are listed below:

1. Attempt to Reach Peer Group Consensus.

   Each of the committees was formed specifically to garner consensus for the SAA efforts by the various constituencies represented across the campus. The faculty, administration, and community groups are working most cohesively, the student group has been less successful in this outcome.

2. Emphasize Two-Way Trust and Communication.

   Throughout this process it has been very clear that this factor is critical. Initially, recognition that the efforts the campus had been involved in had fallen short, was important to be clarified and examined. The cultural assessment attempted to recognize the current situation and learn from the previous organization. At the start, members of most of the developed SAA committees, and others on campus, remained skeptical of any change or positive outcomes. They had been through such efforts before. It was only until positive results occurred and were reinforced through the communications network that two-way trust began to build. This remains an on-going issue, one which needs constant attention.

3. Consider Cultural Change As a Training and Skill Building Process.

   In light of the efforts identified above there was much information shared about the problem of underrepresented students (although there could still be a great deal more). Also, some specific

workshops were conducted for individuals regarding the issues of cultural diversity and awareness to cultural needs. For example, the campus' academic counselors agreed to attend a one day session on student cultural differences. That session was very successful as evidenced by three positive outcomes: (a) procedures within the academic deans' offices were changed because of the cultural awareness efforts, specifically those having to do with letters and communications to specific cultural groups; (b) additional sessions regarding cultural awareness were requested by and conducted for that group; and (c) that group is now encouraging the associate deans of the academic units to partake of similar training.

4. Fit the Cultural Change Around Individual's Daily Activity.

   The way in which the student affirmative action effort was mounted, took advantage of those things that the individuals in the University do on a routine basis. Included were the establishment of committees to look into issues, the use of campus communication networks to share information about issues, and most importantly, the use of a plan as a dynamic document to provide direction toward achieving a certain set of outcomes.

5. To Allow Enough Time For Change to Take Hold.

   It has been made clear throughout this process that this is a long-range activity that will encompass a minimum of five years and more likely ten to fifteen years. Early successes have been highlighted through the communications network. This taking the longview has been very important because it keeps expectations at a reasonable level.

6. Identify Heroes to be Responsible for the Process.

   The commitment to the student affirmative action process comes clearly from

the top in the form of the Chancellor and The Vice Chancellor (the operational manager and academic vice chancellor of the campus). Other heroes have been identified who serve in positions of responsibility, such as unit directors and academic deans. Furthermore, heroes who may not be in positions of authority but who are serving on SAA committees and disseminating information through the informal network, are recognized.

7. Recognize a New Threat From Outside.

Much information has been shared on the campus about the disparities which exist for underrepresented students and there long-range consequences for a loss of people potential across the State. There is a real problem. It affects the institution. And its resolution fits the values of the institution. Additionally there are external threats to the campus related to the SAA issue. The California State Legislature has made it very clear that resolution of this issue is an important part of their continued support of the University. Also, the governing board of the University, The Regents, are questioning the University's marginal success in dealing with underrepresented students.

8. Use Identified Rituals as the Element of Change.

The committee structure and planning process are identifiable rituals used for change on the campus. They are the formal networks of this effort. They reflect the shared governance so valued by the University.

9. Build Tangible Symbols of the New Effort.

The SAA committees involve approximately 100 individuals and these committees are visible symbols of concern. In addition, student affirmative action has become a topic of other affirmative action efforts within the campus. Important tangible symbols are the support dollars which are beginning to

be identified for special student affirmative action activities, such as incentives for faculty to culturally diversify their curriculum, and resources to upgrade SAA facilities. There are plans for specific recognition of those involved in student affirmative action, which have yet to be finalized.

10. Insist on The Importance of Individual Security.

None of the individuals formerly involved in student affirmative action efforts were threatened because of the new effort. Rather, their striving for success in the past was recognized and now their learnings from that period have been included in the effort. Additionally, a number are "heroes" in the process.

H. Summary

It can be seen that a methodology combining action research, and organizational culture strategies has been incorporated into the procedural processes and communication awareness of the University of California, Irvine. The outcomes of the application of this method are detailed in the next section.

V. RESULTS OF ACTION RESEARCH/CULTURAL STRATEGY APPROACH

The above described methodology has led to a number of identifiable outcomes. These results are presented in the following categories: (A) those which specifically impact upon underrepresented students in terms of outreach, retention, and some which influence both outreach and retention; (B) the effects of the methodology on campus procedures; (C) the impact on the institution's attempt to change its culture; and (D) the identification of results by cultural element.

A. Results Specifically Impacting Upon Student Affirmative Action Students.

1. Student Affirmative Action Outreach

- A project entited the Student Teacher Education Project (STEP) was begun in winter 1983. STEP is an outreach effort which brings together the elements of curricula enhancement, teacher development, and support for students and parents. UCI is working on this project with a local school district which has a high minority population. There have been many specific outcomes from this activity including the development of a college preparatory curriculum in one of the three high schools of the district, and a beginning effort with the district's junior high schools to encourage seventh and eighth graders to plan to and prepare for attending college. The University is working collaboratively with the school district and this joint effort recently has been recognized by the College Board through its Project EQuality as one of thirteen nation-wide model projects which address the issue of underpreparation.

- Applications for underrepresented students in 1983 were increased by 20% for advanced standing students and 20% for Freshmen students. As a result of this increase in applications an enrollment increase, the first in four years, occurred for students in all five underrepresented groups. In fact for two of these groups 1985 enrollment objectives had been reached. UCI was one of two campuses in the UC system to show increases in all five areas.
- After the primary filing period was completed for Fall 1984, applications showed a significant increase over the number of Fall 1983 applications for Freshmen and for advanced standing students. This bodes well for continued increased enrollments.
- Academic units are participating in outreach efforts in a number of new ways. For example, faculty are telephoning high achieving SAA applicants to invite them to the campus and meet with them in order to encourage them to attend UCI. Also, in our oversubscribed majors (Engineering and Computer Science) the deans have taken new measures to help ensure that all eligible SAA students are either enrolled in the prescribed major, counseled into a more appropriate major, or advised of other alternatives.
- In Fall 1983 an inter-segmental conference focusing on the issues of the SAA transfer students from community colleges to four-year institutions was held at UCI for all three segments of California higher education. An aggressive slate of action items was established and work has begun on those items.
- Through the stimulus of the SAA Community Advisory Council, in-the-field Admissions and Financial Aid offerings were pilot

tested for highly populated SAA high schools. The results of this experiment indicate that this is an effective way to assist SAA students to enroll in the University, and the effort will be expanded in the Fall, 1984.

2. Student Affirmative Action Retention

- Academic units provided new kinds of retention services for SAA students during 1983-84. Examples of these services include: (a) establishment of a group of peer minority advisors to specifically assist underrepresented students; (b) a project was begun in Engineering and Computer Science to provide an in-depth effort to retain students by developing peer group support, providing specific course-designated assistance, and establishing a physical space where students could work together to develop better study habits; initial positive project results show the potential of this project to become a model for other academic units on the campus; and (c) a program of faculty mentors for SAA students is currently being developed.
- The outcomes of the institution's retention efforts were assessed in a quantitative way in Fall 1983. It appeared that retention for American Indian, Chicano, Latino, and Pilipino students increased, however, the retention for Blacks continued to decrease. This data provide additional incentive for intensive retention activities across the campus for all SAA students, and especially for Black students.
- The student committee began to recommend ways in which they could positively influence students both in their specific academic units as well as within their social environment.

- A series of nonquantifiable measures were mentioned by those in the informal campus network. Some of these are: (a) during the current academic year (1983-84) SAA students seem more willing to seek help from academic support services; (b) there appears to be more awareness on campus for support of SAA; (c) there is an impression by students that there can be some changes made on their behalf, and (d) more SAA students are beginning to apply for summer programs designed to assist in retention.

3. Specifically Assisting Both Outreach and Retention of SAA Students.

- Honors programs are being developed on the campus and ways to include underrepresented students are being proactively considered. Also, there is encouragement of honors fraternities and sororities specifically for SAA students.
- There is closer coordination between the offices of Admissions, Financial Aids, and Housing to provide on-going support for SAA students both to enhance the campus' ability to attract as well as to retain students.
- The campus is looking at the issue of transition, meaning what kind of consistent ways the University can interact with the student from the time of application for admission until successful completion of a year on campus.

B. Results Influencing Procedural Changes

The methodology has influenced a number of procedural changes on the campus and in its external environment. These are presented below.

1. Internal to the Campus

- A on-going effort to evaluate results of SAA efforts is beginning to be put into place on the campus. This will measure the

outcomes of the student affirmative action efforts campus-wide, as well as assist in formative and summative evaulation of an individual unit's sub-objectives. This is a training function whereby units are learning how to develop self assessment techniques and are provided assistance in learning how to carry out their efforts in the most effective way. This should have a positive on-going effect for enhancing a unit's procedures in general.

- Procedures are being discussed to take into account incentives for faculty involvement in student affirmative action efforts. This is reflected both in discussion regarding the potential for release time for faculty members to work on student affirmative action activities, and in an attempt to recognize those efforts in the merit and promotion process.
- Students involved on the SAA Committee are being utilized as advisors to academic units about the consequences of the unit's student affirmative action activites. This linkage between student affirmative action students and the Deans offices provide positive student support on SAA matters as well as other student matters.
- A number of policies have been identified which have served as barriers to the success of SAA students. As these policies and procedures are identified they are being revised or eliminated. This activity also assists in the general review of policies and procedures as they affect all students.
- Those administrative units which were involved as the focal point of SAA efforts, prior to the new methodological approach, have now been provided with a clear focus for their actions. In

addition, they serve as advisors to the campus by sharing what they have learned as successful ways to resolve student affirmative action concerns.

2. External to the Campus

- The revised February 1, 1984 goals and objectives are being reviewed by the University of California's Office of the President. This is being done to determine the degree to which they can serve as a model in the assessment of other campuses' student affirmative action efforts in terms of quanitative measures, qualitative measures, and the quality of a campus' efforts toward parity.
- Because of the efforts with the community advisory group, there is a change in focus from the community critizing the campus to the community supporting the campus in those efforts. This is evidenced by a recent trend among the involved community members to ask what they can do in a proactive way to assist in the student affirmative action efforts. This should be a very productive dialogue.

C. Results as They Impact on the Institution Changing its Culture

An important aspect of this effort has been to assist the University to not only do a better job in attracting and retaining SAA students, but, and very importantly, to influence the basic culture of the University. Below are some of the effects of this effort:

- New levels of internal resources are being targeted for student affirmative action efforts. This recognition of budget linked to the outcomes of student affirmative action has the long range potential for holding responsible individuals accountable for the outcomes of their activities and the quality of their efforts.

This is a clear message of the importance of these activities.

- The refined goals and objectives (Appendix B) indicate the minimum outcomes to which the campus is committed. It is clear that an on-going process is underway which yearly will refine objectives depending upon the degree to which they are met. At the same time new levels of sophistication and understanding of the issues regarding student affirmative action are becoming more clear.
- The Academic Senate Committee has proven to be one of the most influential forces in changing the campus. As stated in its first year report (Appendix C) and enhanced by the Senate Resolution (Appendix D) passed in February 1984, the institution has now committed itself to putting culturally diverse material into its curricula. This latter document is a landmark statement, and the first of its kind in the UC System.
- The senate committee is also identifying distinguished faculty on the campus who will be asked to directly participate in and lend their support to student affirmative action efforts. By lending their support, these faculty will join the ranks of the "heroes" and influence the process of changing the culture of the institution.
- Specific funding has been set aside to assist faculty in their efforts to culturally diversify their curricula. These dollars will be available for faculty proposals in Spring 1984.
- A series of research activities has been stimulated by the student affirmative action effort. The outcomes of these research projects will be fed back through the various communication networks, and

provide reinforcement toward changing the campus' culture. Such questions as: why are underrepresented student leaving the campus, why are SAA students succeeding, and what are successful faculty interventions, are all issues being researched at this time.

- The student affirmative action efforts are lending themselves to a review of staff and faculty affirmative action efforts. It is the impression of the affirmative action committees on campus that the cultural methodology of the student affirmative action effort may well lend itself toward changing the campus' culture in terms of staff and faculty affirmative action.
- The whole area of cultural awareness is being strongly reviewed. A widely attended session was held on how faculty and administrators stereotype SAA students and the consequences of that behavior. Training is being developed to assist administrators and faculty in determining how to take students' culturally diverse characteristics into account. Most importantly is the growing awareness that the institution must also change, and not simply that the student must be molded into the present institutional fabric.
- There is top level administrative support for the model from the Chancellor and The Vice Chancellor. Appendix E, a memorandum from The Vice Chancellor to the Deans indicating that they would be held accountable for managing the student affirmative action process within their units, is an example of this support.
- Another aspect of this effort is the degree to which the positive impacts on student outreach and retention are filtering to all UCI students. There is a renewed concern about students, in

general, and a new awareness of their needs. Research on student issues will assist this outcome and the end result should be not only a more culturally diverse campus but a campus more attuned to its students' needs.

D. Results by Organizational Culture Elements

Earlier it was indicated that there were a number of organizational cultural elements which enhance the opportunity for an effective cultural change. Below are listed a few of the results which relate to these cultural elements:

- Assessment of the Environment

The external environment is paying a great deal of attention to the efforts of the Irvine campus. There has been much publicity about the SAA planning effort as well as the aforementioned STEP effort. This publicity reinforces a positive image of the campus and has had some influence in determining the level of support the campus receives from the community, from the local school districts, from community colleges, from the University of California's Office of the President, as well as from the State Department of Education. These kinds of environmental reinforcements have proven to stimulate the student affirmative action efforts.

- Values

The results of SAA efforts are all consistent with the values of the University. Clearly, shared governance is supported as responsibility for faculty involvement in the model lies both within the academic unit as well as with the academic senate. Additionally, administrators are being held accountable through the administrative hierarchy.

Research serves as a cornerstone of the mission of the University of California and a cornerstone of this effort.

The SAA efforts are focused upon attaining and increasing the quality of underrepresented students and assisting them to achieve to the highest of their potential. Therein lies the value ladened linkage of quality and equality.

- Heroes

A number of heroes have been identified through this process. An individual who conducted a research study on SAA in 1979 is now a focal person in establishing the way in which the campus can develop faculty activities to deal with student affirmative action. The members of the Core Planning Group, who come from all levels of the institution, and are representative of all the campus' constituencies, proudly take credit (as they should) for their efforts in defining the campus' goals and objectives. The Chair of the Academic Senate Committee has emerged as a forceful leader for affirmative action on the campus and is an articulate proponent of these efforts. Both the Chancellor and The Vice Chancellor are seen to be heroes as they have promoted clear and consistent administrative support for these efforts. Heroes continue to be identified throughout the change process.

- Communications

Communications both formally, through the committee networks described above, and informally, through the meanderings and discussions of the heroes, appear to be paying off in positive outcomes. Recognition of those involved in student affirmative action will continue to be a high priority and not an overlooked commodity as the project continues.

- Rites and Rituals

A number of rites and rituals have been changed to inculcate into the University a sense of the student affirmative action effort. First of all, the concept of a campus-wide effort is constantly stated as the only way in which student affirmative action will succeed at UCI. The fact that one of the meetings of the Academic Senate's Representative Assembly (held once a quarter) was devoted to student affirmative action is a clear sign that this issue is being included in the important rituals of the campus. Plans are being developed to honor those involved in making a contribution to student affirmative action. Of course, there is the ongoing ritual of committee meetings and minutes of meetings which continue to support the momentum of the student affirmative action effort.

All of these cultural elements continue to be a concern and a focal point for the development of new activities to support student affirmative action. The intention is to continue to enhance and refine these efforts as current objectives are met and new ones established. It appears that a change in the culture of the University is indeed, underway.

VI. CONCLUSIONS AND RECOMMENDATIONS

The results indicate that this model of action research/organizational culture strategy, has the potential to succeed in higher education in general and specifically in research universities. With the project only 20 months old, however, it is too early to judge the degree to which the culture of the campus will actually be altered.

If this model proves to be an effective way to conceptualize and actualize change in higher education institutions, then a number of issues can be addressed through its application. For example, institutions facing enrollment and concomitant budget declines can determine the degree to which a change in the culture would position the institution in terms of its attractiveness to potential students. As a minimum, an assessment of the effectiveness of the cultural elements (i.e.; contextual environment, heroes, values, communications networks, and rites and rituals) can provide a way to review the preparedness and responsiveness of the institution to deal with a specific problem, such as the issue of adequate student preparation.

An outcome of this study supports the importance of Deal and Kennedy's (1982) elements for successful cultural change. Again these are:

-have a hero(es) in charge

-recognition of a real threat

-seeking of peer group consensus

-development of two-way trust

-inculcate into the change process the development of skills and training in the new values

-use transition rituals already in place as the pivotal elements for the new culture

-ensure security of the individuals involved

-adapt cultural changes into the way in which employees currently function

-have visible tangible symbols of new directions

-allow sufficient time.

In addition to these, I would recommend that in adopting cultural changes within higher education institutions the below be considered:

-Not only is it necessary that a hero, or heroes, be in charge of the process, but in addition these individuals must remain and continue with the effort over a sustained period of time. This is especially true in the early stages of the change effort. Once under way, a network of heroes begins to be established which can continue the cultural revision.

-Among the tangible symbols left out by Deal and Kennedy, and one which this author believes is essential, is the eventual change of the reward system so that it is partially based upon the values of the new culture.

-While the top level of administration cannot dictate cultural changes, it is important that they support the changes and that this support be visible and tangible.

-The peer consensus, mentioned by Deal and Kennedy, should include, for universities, constituency consensus. That is, the varied constituencies of the campus must reach consensus on the reality of the threat, as well as the commitment to change. The constituencies to include are the community, the faculty, students, and administrators.

In time it may be that this cultural change effort falls short of its goals. If this occurs it will not be because important elements of the action research/ cultural change strategy were not addressed.

At the time of this writing, 20 months into this cultural change effort, the future looks positive. Visible signs exist that affirmative results are being achieved.

VII REFERENCES

Argyris, C. (1982). Reasoning, Learning, and Action: Individual and Organizational. San Francisco: Jossey-Bass.

Astin, A. W. (1982). Minorities in American Higher Education. San Francisco: Jossey-Bass.

California Postsecondary Education Commission. (1981). The Challenges Ahead: Issues in Planning for California Postsecondary Education 1982-1987 (Commission Report No. 81-26). Sacramento: Author.

Carnegie Council on Policy Studies in Higher Education. (1980). Three Thousand Futures: The Next Twenty Years for Higher Education. San Francisco: Jossey-Bass.

Deal, T. E. & Kennedy, A. A. (1982). Corporate Cultures: The Rites and Rituals of Corporate Life. Reading, Mass: Addison-Wesley.

Egerton, J. (1982). Race and Equity in Higher Education. In R. Wilson (Ed.), Race and Equity in Higher Education. Washington, D. C.: American Council on Higher Education.

Master Plan Survey Team. (1960). A Master Plan for Higher Education in California 1960-1975. Sacramento: California State Department of Education.

Peters, T. J. & Waterman, R. H. (1982). In Search of Excellence: Lessons from America's Best-Run Companies. New York: Harper & Row.

Pettigrew, A. M. (1979). On Studying Organizational Cultures. Administrative Science Quarterly, 24, 570-581.

Preer, J. L. (1981). Minority Access to Higher Education. Washington, D. C.: American Association for Higher Education.

Schwartz, H., & Davis, S.M. (1981, Summer). Matching Corporate Culture and Business Strategy. Organizational Dynamics, 30-48.

Scriven, M. S. (1967). The Methodology of Education. In Perspectives of Curriculum Evaluation (AERA Monograph Series on Curriculum Evaluation, No. 1). Chicago: Rand McNally.

Stake, R.E. & Denny, T. (1973). The Future of Evaluation. In Worthen, B. R. & Sanders, J. R. (Eds.), Educational Evaluation: Theory and Practice (pp. 327-349). Belmont, CA.: Wadsworth.

Tyler, R. W. (1983). A Rationale for Program Evaluation. In Madaus, G. F., Scriven, M. S. and Stufflebeam, D. L. (Eds.), Evaluation Models: Viewpoint on Educational and Human Services Evaluation (pp. 67-78). Boston: Klumer-Nijhoff.

University of California. (1983). University of California Student Affirmative Action Five-Year Plan - Preliminary. Berkeley: Author.

University of California, Irvine. (1983). University of California, Irvine Student Affirmative Action Plan/Planning Process. Irvine, Ca.: Author.

Wallach, E. J. (1983, February). Training and Development Journal, pp. 29-36.

Weinberg, M. (1977). A Chance to Learn: A History of Race and Education in the United States. Cambridge: Cambridge University Press.

Weiss, C. H. (1972). Evaluating Action Programs: Readings in Social Action and Education. Boston: Allyn and Bacon.

Weiss, C. H. (1972). Evaluation Research: Methods for Assessing Program Effectiveness. Englewood Cliffs, N. J.: Prentice-Hall.

Appendix A

Samples of June 1, 1984

UC Irvine

Student Affirmative Action

Goals and Objectives

Senior High School Outreach

(Freshman - Senior)

D. To increase the number of underrepresented SAA students who apply to and enroll in the University of California and other institutions of higher education.

OBJECTIVES:

1 To increase to 39.9% by 1988 the number of underrepresented SAA students in selected schools and identified programs who enroll in community colleges.

RATIONALE:

The current enrollment average of underrepresented SAA students in community colleges is 30.4%, approximately 2/3 more than that of UC. The need for continued development of transfer enrollment pools from community colleges requires 2/3 more than the 1988 target for UC (14.0%).
(Formula = 30.4% + 2/3 x 14.4% = 39.9%)

2. To increase to 28.9% by 1988 the number of underrepresented SAA students in selected schools who enroll in 4-year institutions of higher education including UCI.

RATIONALE:

The current enrollment average of underrepresented SAA students in 4-year institutions of higher education is 21.9%, approximately 1/2 greater than that of UC. The need for continued development of transfer + enrollment pools from 4-year institutions of higher education requires 50% more than 1988 target for UC (22.4%). (Formula = 21.9% + 1/2 x 14.0% = 28.9%)

3. To increase to 14.0% by 1988 the number of underrepresented SAA students in selected schools who enroll in the University of California.

RATIONALE:

The current enrollment statistic of underrepresented SAA students in UC is 11.2%.

	Current UC	25% Increase
Amer. Ind.	.4%	.5%
Black	4.8%	6.0%
Hispanic	6.0%	7.5%
	11.2%	14.0%

4.a. To enroll a minimum of 13 new entering American Indian domestic students in fall 1985.

b. To enroll a minimum of 100 new entering Black domestic students in fall 1985.

c. To enroll a minimum of 217 new entering Hispanic domestic students in fall 1985.

RATIONALE:

Students who have been underrepresented in higher education will continue to constitute an increasing part of the potential pool to be served by the University of California. Systemwide has

recommended the projections below for UCI enrollments. The increased fall 1985 enrollment targets established by UCI reflect the anticipated results of increased outreach programs and activities.

	Systemwide Projected Targets for UCI	UCI Target
	Fall 1985	Fall 1985
American Indian	12	13
Black	83	100
Hispanic	217	217

5. To increase to 19.7% by 1988 the overall representation of targeted SAA students at UCI, keeping constant the existing ratio between regular eligible new students and admissions by Special Action of the Chancellor.

RATIONALE:

The current distribution of underrepresented SAA students at UCI is:

	Current UCI 1982-83	50% Increase
Amer. Ind.	.6%	.9%
Black	4.2%	6.3%
Hispanic	7.0%	10.5%
	11.8%	17.7%
Filipino	2.0%	2.0%*
	13.8%	19.7%

It is anticipated that programs in progress and those projected will accommodate a 50% increase.

*Filipinos reached parity at UCI in 1982-83. Services will be offered to ensure maintenance.

GOALS AND OBJECTIVES

III. COMMUNITY COLLEGES - OUTREACH

GOALS:

A. To increase the number of underrepresented SAA students from selected community colleges who apply and enroll in the University of California, Irvine and other 4-year educational institutions.

OBJECTIVES:

1. To increase the number of academically qualified underrepresented SAA students from selected community colleges who transfer to baccalaureate programs.*

2. To increase the number of academically qualified underrepresented SAA students from selected community colleges who transfer to the University of California, Irvine.*

B. To continue to enhance intersegmental cooperative efforts aimed at strengthening the transfer function at selected community colleges.

OBJECTIVE:

1. To increase the number of intersegmental meetings with appropriate personnel from selected community college and university campuses.

---

*To collect baseline data in 1983 and 1984.

GOALS AND OBJECTIVES

IV. UCI FRESHMAN

GOALS:

A. To increase SAA students' academic success and sense of academic responsibility.

OBJECTIVES:

1. To increase by .35 grade points by 1988 the overall GPA of freshman SAA students as compared to an identified base year of SAA students.

RATIONALE:

The current average GPA of SAA UCI freshmen is 2.30; average for all UCI freshmen GPA is 2.65.

2. To increase to 70% SAA students' utilization of academic support services by fall, 1984.

RATIONALE:

The current utilization is approximately 50%.

B. To retain SAA students as academically eligible to the sophomore year.

OBJECTIVE:

1. To decrease to 20% by 1988 the number of underrepresented SAA students who are not retained to the sophomore year.

RATIONALE:

The current average rate of retention for SAA students is approximately 65%.

C. To enhance the social adjustment of SAA students to the University.

OBJECTIVE:

1. To increase the positive attitude of SAA students towards the University social environment.

Appendix B

Samples of February 1, 1984

UC Irvine

Student Affirmative Action

Goals and Objectives

Senior High School Outreach

(Freshman - Senior)

D. To increase the number of underrepresented SAA students who apply to and enroll in the University of California and other institutions of higher education.

OBJECTIVES:

1. To increase to 39.7% by 1988 the percentage of underrepresented SAA students in selected schools and identified programs who enroll in community colleges. (See section III and VI for goals and objectives for community college transfer students.)

RATIONALE:

In 1982 the percentage of underrepresented SAA students enrolled in California community colleges was 30.4%, approximately 66.7% more than that of UC (11.2%). The need for continued development of transfer enrollment pools from community colleges requires 66.7% more than the 1988 goal for UC (14.0%). (Formula = 30.4% + 66.7% x 14.0% = 39.7%)

2. To increase to 28.9% by 1988 the percentage of underrepresented SAA students in UCI service area schools who enroll in 4-year institutions of higher education.

RATIONALE:

In 1982 the percentage of SAA students in 4-year institutions of higher education was 21.9%, approximately 50% greater than that of UC (11.2%). The need for continued development of the pool of students who enroll in 4-year institutions of higher education requires 50% more than the 1988 goal for UC (14.0%). (Formula = 21.9% + 50% x 14.0% = 28.9%)

3. To increase to 14.0% by 1988 the percentage of underrepresented SAA students in UCI service area schools who enroll in the University of California.

RATIONALE:

The Fall 1982 enrollment percentage of underrepresented SAA students in UC was 11.2%. Based on an anticipated 25% increase in the percentage of SAA students, the 1988 goal is 14.0%.

	UC Fall 1982	UC Goal Fall 1988*
Amer. Indian	.4%	.5%
Black	4.8%	6.0%
Hispanic [Latino + Chicano]	6.0%	7.5%
	11.2%	14.0%

4.a. To enroll a minimum of 17 new entering American Indian domestic students in Fall 1985 and a minimum of 21 in Fall 1988 at UCI.

b. To enroll a minimum of 118 new entering Black domestic students in Fall 1985 and a minimum of 141 in Fall 1988 at UCI.

c. To enroll a minimum of 100 new entering Latino domestic students in Fall 1985 and a minimum of 120 in Fall 1988 at UCI.

d. To enroll a minimum of 181 new entering Chicano domestic students in Fall 1985 and a minimum of 217 in Fall 1988 at UCI.

RATIONALE:

Students who have been underrepresented in higher education will continue to constitute an increasing part of the potential pool to be served by the University of California. The Office of the President has recommended the following projections for UCI enrollments. The increased enrollment targets established by UCI anticipate a 25% increase for Fall 1985 and a 50% increase for Fall 1988, over the actual enrollment figures for Fall 1983.

BEST COPY AVAILABLE

* 25% increase over Fall 1982.

Numerical Goals for UCI New Undergraduates

	Goals Set By The Office Of The President		Goals Set By UCI	
	Fall 85	Fall 88	Fall 85*	Fall 88**
Am. Indian	13	13	17	21
Black	96	111	118	141
Chicano	153	228	181	228
Latino	--	--	100	120

5. To increase to 17.7% by 1988 the overall representation of targeted SAA students at UCI, keeping constant the existing ratio between regular eligible new students and admission by Special Action of the Chancellor.

RATIONALE:

The Fall 1983 percentage of SAA students at UCI was 12.5%. It is anticipated that programs in progress and those projected will accommodate a 50% increase by 1988. Although Pilipinos reached parity at UCI in 1982-83, services will be offered to ensure maintenance.

UCI Undergraduates

	Actual Fall 83	Goal Fall 85*	Goal Fall 88**
Amer. Indian	.5%	.6%	.7%
Black	3.1%	3.9%	4.7%
Latino	2.1%	2.6%	3.2%
Chicano	4.6%	5.8%	6.9%
Pilipino	2.2%	2.2%	2.2%
	12.5%	15.1%	17.7%

*25% increase over Fall 1983.
**50% increase over Fall 1983.

GOALS AND OBJECTIVES

III. CALIFORNIA COMMUNITY COLLEGES - OUTREACH

GOALS:

A. To increase the number of underrepresented SAA students from selected community colleges who apply to and enroll in the University of California, Irvine.

OBJECTIVE:

To increase the number of academically qualified underrepresented SAA students from selected community colleges who transfer to the University of California, Irvine.

B. To increase the number of underrepresented SAA students in UCI feeder community colleges who recognize the benefits of and are motivated toward obtaining a baccalaureate degree.

OBJECTIVES:

1. To assist selected community colleges in increasing the number of SAA students who receive orientation regarding transfer opportunities and procedures.

2. To assist selected community colleges in increasing the number of SAA underrepresented students who plan to transfer to a four-year institution of higher education.

C. To increase the number of underrepresented SAA students who are academically qualified to transfer to UCI.

1. To work with selected community colleges to disseminate information specific to UC/UCI transfer requirements.

2. To work with selected community colleges in strengthening transfer preparatory programs in English and mathematics.

3. To work with community college honors programs to identify and serve high-achieving SAA prospective transfer students.

D. To increase the number of underrepresented SAA students in selected UCI feeder community colleges who enroll in transfer level courses.

1. To increase the number of SAA community college students who enroll in transfer-level English courses.

2. To increase the number of SAA community college students who enroll in transfer-level courses in mathematics or courses in mathematics with Algebra I as a prerequisite.

3. To increase the number of SAA community college students who enroll in a laboratory science or foreign language.

BEST COPY AVAILABLE

E. To continue to enhance intersegmental cooperative efforts aimed at strengthening the transfer function at selected community colleges.

OBJECTIVES:

1. To increase the number of intersegmental meetings with appropriate personnel from selected California community colleges and university campuses.

2. To increase the number of administrators, faculty, counselors and support service personnel from selected community colleges and universities who attend joint meetings both at the university and on the community college campuses, and are involved in joint projects.

GOALS AND OBJECTIVES

IV. UCI FRESHMEN

GOALS:

A. To increase underrepresented SAA students' academic success.

OBJECTIVES:

1. To increase by .35 grade points by 1988 the overall GPA of freshman SAA students.

RATIONALE:

The 1982 average cumulative GPA of UCI SAA freshmen is 2.30; average cumulative GPA for all UCI freshmen is 2.65.*

2. To increase the number of SAA freshman who participate in UCI honors programs.

B. To develop and enhance underrepresented SAA students' sense of academic responsibility.

OBJECTIVE:

To increase to 70% by 1985 SAA students' utilization of academic support services.

RATIONALE:

The current utilization rate for all UCI students, including SAA students, is approximately 50%.**

C. To retain underrepresented SAA freshmen as academically eligible to the sophomore year.

OBJECTIVE:

To increase to 70% by 1985 and to 75% by 1988 the number of SAA freshmen who are retained to the sophomore year.

RATIONALE:

The current average rate of retention for UCI SAA freshmen is approximately 65%. The retention rate for all UCI freshmen is 74%.***

D. To enhance the social adjustment of underrepresented SAA students to the University.

*UCI Student Information System, final week of Spring 1982.
**Reported by UCI Director of Special Services.

OBJECTIVES:

1. To increase the positive attitude of SAA students towards the University social environment.

2. To increase the opportunities for SAA students to participate in the University's social environment.

3. To increase the availability of culturally diverse activities which will enhance the social adjustment of SAA students.

E. To include issues of cultural diversity in the learning process.*

F. To increase SAA student enrollment and retention in academic units where an underrepresentation exists.**

*Specific objectives are being developed by UCI's Academic Senate Division's Student Affirmative Action Committee.

**Specific objectives are to be determined by each academic unit.

APPENDIX C

IRVINE DIVISION, ACADEMIC SENATE
STUDENT AFFIRMATIVE ACTION COMMITTEE
PHILOSOPHY STATEMENT

As a public institution, the University of California, Irvine recognizes its responsibility to transmit knowledge to all qualified students of the State of California. At the same time, it also recognizes that specific factors - including educational and socio-economic discrimination - have contributed to the underrepresentation of certain groups of students on the UCI campus. The University will therefore seek to develop increasing awareness of these circumstances and will be prepared to work with underrepresented groups to remedy the effects of these types of discrimination by ensuring that all qualified segments of the public have equal access and equal opportunity to participate in the University's academic programs.

Demographic trends point to the need for an expanded commitment to student affirmative action. It is projected that by 1990 groups currently underrepresented in California's public schools will be about 25 percent greater than nonminority enrollment, while the total college-age population is expected to decline. Students who heretofore have been underrepresented in higher education will continue to constitute an increasing part of the potential pool to be served by the University of California.

In order for these programs to be effective, they have to proceed in two directions, on the one hand helping the students to accommodate themselves to the University, and on the other hand making the University into a multi-cultural institution in which students from underrepresented groups find an environment amenable to their learning process. The University is therefore prepared to take action on two levels: in the academic disciplines as well as in student support and outreach services. It will work with students from underrepresented groups by providing them

access to programs and services designed to recognize cultural differences, and at the same time it will work with academic units to encourage integration of culturally diverse material into core curricula, especially those courses used to fulfill basic campus requirements.

The faculty, the academic units, the Academic Senate, the Office of Academic Affairs, the Office of Undergraduate Studies and the Division of Graduate Studies and Research all must be responsible for a consolidated effort to include issues of cultural diversity into the pursuit and transmission of knowledge which are the University's primary function as an educational institution.

The University's student outreach services will develop effective policies to interact with secondary schools and community colleges in a concentrated effort to motivate and prepare all students and especially those of underrepresented groups to pursue a University education. Financial aid policies will play a significant role in supporting qualified SAA students, who have limited means to pursue their academic endeavors.

It is of the utmost importance that all components of the University's Affirmative Action policies be integrated into the total Affirmative Action plan. Any plan for Student Affirmative Action can work effectively only if it is executed in coordination with the faculty and staff Affirmative Action Plans and integrated with the Academic Plan. These plans should in reality work to increase the hiring and retention of minority faculty who can serve as role models.

APPENDIX D

JOINT REPORT OF THE SENATE STUDENT AFFIRMATIVE ACTION COMMITTEE AND THE DIVISIONAL COMMITTEE ON AFFIRMATIVE ACTION

To the Representative Assembly, Irvine Division:

Introduction

The problem addressed by affirmative action programs for students concerns the underrepresentation of American Indian, Black, Chicano, Filipino, and Latino students in the UCI student body. The proportion of those students among new UCI undergraduates declined steadily for 3 years, from 14.6 per cent in 1980 to 11.3 per cent in 1982. This decline occurred at a time when the same group representation in the graduating high school classes was increasing, an increase that will continue.

In Fall 1983, the proportion of new undergraduate underrepresented students at UCI rose to 12.6 per cent, as the result of campus student affirmative action efforts. Community groups have also organized and taken an active role in all phases of UCI student affirmative action. A student group has been established to work with academic units in specific student affirmative action plans.

The goal of recruiting and retaining qualified students from underrepresented groups can be achieved only with the active participation of all segments of the campus community, including the faculty.

Resolution

RESOLVED: THE UCI FACULTY DECLARES ITS COMMITMENT TO STUDENT AFFIRMATIVE ACTION.

FURTHERMORE, THE FACULTY DECLARES ITS COMMITMENT TO FOSTER THE TRANSFORMATION OF THE UNIVERSITY INTO A MULTICULTURAL INSTITUTION IN WHICH STUDENTS FROM UNDERREPRESENTED GROUPS FIND AN ENVIRONMENT AMENABLE TO THEIR EDUCATION. FACULTY AFFIRMATIVE ACTION EFFORTS WILL SEEK TO INTEGRATE CULTURALLY DIVERSE MATERIAL INTO THE CURRICULA WHEREVER FEASIBLE.

Implementation

Faculty members can contribute to student affirmative action by:

1. integrating culturally diverse material into the curriculum, especially in courses used to fulfill basic campus requirements;
2. participating in recruitment efforts and working with community groups;
3. establishing mentor programs for minority students within academic units;
4. encouraging recognition of faculty contribution to affirmative action in personnel actions and program reviews;
5. encouraging the recruitment and fostering the retention of minority faculty, who can serve as role models for students and contribute to the development of UCI as a multi-cultural institution.

Jonathan Wiener
Chair, Senate Affirmative
Action Committee

Helen Weil
Chair, Senate Student
Affirmative Action Committee

BEST COPY AVAILABLE

APPENDIX E

IRVINE: THE VICE CHANCELLOR

November 4, 1983

COUNCIL OF DEANS

RE: Council of Deans Meeting, November 22, 1983

UCI has made a firm commitment to student affirmative action--to work actively with underrepresented students to ensure that all qualified persons have equal access and equal opportunity to participate in the University's academic programs. During Spring 1983, all academic units, as well as student support units, were invited to participate in a planning process to establish campus and unit goals and objectives and to define plans for implementation of activities which will move UCI toward its becoming a truly culturally diverse institution. One result of the planning process was the production of a planning document, submitted to the Office of the President in June 1983. You have a copy of this document. After reviewing other campus plans it is clear that UCI has taken a leadership position in pursuing SAA goals within the UC system. The challenge before all of us now is to demonstrate actively our commitment to reaching the goals and objectives we have outlined by carrying out our plans.

Due to the importance of these efforts, a portion of the November 22, 1983 Council of Deans meeting will be given over to the discussion of SAA efforts at UCI. I have asked Assistant Vice Chancellor Dennis Galligani to provide an update on campus-wide administrative efforts to implement the activities outlined in the June planning document, including specific unit statistics regarding Fall 1983 enrollment, and results of recent discussions with the various Student Affirmative Action community, administrative, senate, and student advisory groups.

As I indicated to you at our November 1st meeting, you, as managers, are responsible for your school's commitment to these efforts. Therefore, your participation is vital. To facilitate active discussion at the November 22 meeting, please consult beforehand with your chief academic advisors, or other individuals you hold responsible for involvement in the plan, regarding the current status of activities outlined by your school or program in the June document, and your unit's progress in implementing these activities. We will discuss the issues facing the campus, creative ways to involve faculty in these implementation efforts, implications for curricular response, and your sense of how we may revise and expand our goals and objectives for 1984-85.

If you have any questions before the meeting, please feel free to contact Dennis Galligani at X6482.

W. J. Lillyman

William J. Lillyman
The Vice Chancellor

cc: Daniel G. Aldrich

UNIVERSITY OF CALIFORNIA—(Letterhead for interdepartmental use)